



41

3624

PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

Application Number

09/738,618

Filing Date

12/15/2000

First Named Inventor

Mark A. Henninger ET AL.

Art Unit

3624

Examiner Name

Lalita M. Hamilton

Attorney Docket Number

00-416

Total Number of Pages in This Submission

ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☒ Amendment/Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Documents
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation
- ☐ Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosures(s) (please identify below):

Remarks

RECEIVED

MAY 6 - 2004

GROUP 3600

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

W. Bryan McPherson III, Registration No. 41,988

Signature

Date

April 28, 2004

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope address to:
Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on this date:

04/28/2004

Typed or printed name

W. Bryan McPherson III

Signature

Date

4/28/04

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
)
MARK A. HENNINGER ET AL.) Art Unit: 3624
)
Application No.: 09/738,618) Examiner: Lalita M. Hamilton
)
Filed: December 15, 2000) Paper No.: 6
)
For: COMPENSATORY RATIO HEDGING)
)
)
Attorney Docket No.: 00-416)
_____)

Peoria, Illinois 61629-6490

April 28, 2004

Mail Stop Non-Fee Amendment
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

RECEIVED
MAY 6 - 2004

GROUP 3600

AMENDMENT

Sir:

In response to the Official Action dated January 28, 2004, please amend the above-identified application as follows:

INTRODUCTORY COMMENTS

Claims 1 - 20 are now pending in the application. The Amendment does not introduce new matter, and the entry is respectfully requested. Based on the following Amendment and Remarks, Applicants respectfully request that the Examiner reconsider all outstanding objections, and that they withdraw them.